
CESAJ-01 33 00 (April 2006)

USACE / NAVFAC / AFCEA

From
UFGS

UNIFIED FACILITIES GUIDE SPECIFICATIONS

Revised throughout - changes not indicated by CHG tags

SECTION 01 33 00

SUBMITTAL PROCEDURES

11/08

NOTE: This guide specification covers general procedures regarding submittals called for in other sections of the specifications. This section can be used for USACE construction projects or design-build construction projects.

Comments and suggestion on this specification are welcome and should be directed to the technical proponent of the specification. A listing of the technical proponents, including their organization designation and telephone number, is on the Internet.

Recommended changes to a UFGS should be submitted as a Criteria Change Request (CCR).

Use of electronic communication is encouraged.

This guide specification includes tailoring options for USACE and NAVFAC requirements and for NAVFAC EFD and EFA regional requirements. Selection of the USACE tailoring option also requires selection of the tailoring option for construction projects or for design-build construction projects. Selection or deselection of a tailoring option will include or exclude that option in the section, but editing of the resulting section to fit the project is still required.

Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.

PART 1 GENERAL

1.1 SUMMARY

This section describes submittal procedures in Jacksonville District contracts using Quality Control System submittal procedures in accordance with Section [01 45 04 CONTRACTOR QUALITY CONTROL] [01 45 05 DREDGING/BEACH FILL - CONTRACTOR QUALITY CONTROL]. It covers submittal item identification, number of copies, review periods, quality control review,

QC/QA reviewer coding, and transmittal tracking procedures using Quality Control System (QCS)/Resident Management System (RMS) shared data base. Contractor shall use QCS software to identify, track and transmit submittal items.

1.2 DEFINITIONS

1.2.1 Submittal

Contract Clauses "FAR 52.236-5, Material and Workmanship," paragraph (b) and "FAR 52.236-21, Specifications and Drawings for Construction," paragraphs (d), (e), and (f) apply to all "submittals."

1.2.2 Transmittal

This is a routine contract correspondence action using a transmittal form (ENG Form 4025) to send submittal items to the Government. The QCS "Transmittal Log" module uses data base entry to create a hard copy of ENG Form 4025.

1.2.3 Submittal Descriptions (SD)

Submittals requirements are specified in the technical sections. Submittals are identified by SD numbers and titles as follows.

**NOTE: The SD numbers and names, assigned by the
 SPECSINTACT Configuration, Control and Coordinating
 Board, relate to the terminology of the technical
 sections and should not be changed.**

SD-01 Preconstruction Submittals

Certificates of insurance.
 Surety bonds.
 List of proposed subcontractors.
 List of proposed products.
 Construction Progress Schedule.
 Submittal register.
 Schedule of prices.
 Health and safety plan.
 Work plan.
 Quality control plan.
 Environmental protection plan.

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Contractor for integrating the product or system into the project.

Drawings prepared by or for the Contractor to show how multiple systems and interdisciplinary work will be coordinated.

SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

SD-05 Design Data

Calculations, mix designs, analyses or other data pertaining to a part of work.

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accordance with specified requirements. (Testing must have been within three years of date of contract award for the project.)

Report which includes findings of a test required to be performed by the Contractor on an actual portion of the work or prototype prepared for the project before shipment to job site.

Report which includes finding of a test made at the job site or on sample taken from the job site, on portion of work during or after installation.

Investigation reports.

Daily checklists.

Final acceptance test and operational test procedure.

SD-07 Certificates

Statements signed by responsible officials of manufacturer of product, system or material attesting that product, system or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a supplier, installer or

subcontractor through Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data sheets concerning impedances, hazards and safety precautions.

SD-09 Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative to confirm compliance with manufacturer's standards or instructions.

Factory test reports.

SD-10 Operation and Maintenance Data

Data that is furnished by the manufacturer, or the system provider, to the equipment operating and maintenance personnel. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

1.2.4 Approving Authority

Office authorized to approve submittal.

1.2.5 Work

As used in this section, on- and off-site construction required by contract documents, including labor necessary to produce submittals, construction, materials, products, equipment, and systems incorporated or to be incorporated in such construction.

1.2.6 Contractor Reviewer

Contractor employee performing quality control review on submittal items.

1.2.7 Primary Reviewer

Initial Government reviewer is usually among construction field personnel who perform quality assurance review on submittal items.

1.2.8 Secondary Reviewer

Secondary Government reviewer is usually an in-house designer or Architect/Engineer (A/E) firm hired to perform "engineering during construction". This is a submittal reviewer for design critical "G" submittal items. Secondary Reviewers may also be specialized district staffs such as safety or environmental specialists, users, or operations

and maintenance reviewers. Secondary Reviewers are advisors to Approving Authority.

1.2.9 Reviewer Codes

Two and three letter codes used to identify Government primary and secondary reviewer on submittal register are as follows:

PO -- Construction-Operations Project Office
 RO -- Construction-Operations Resident Office
 AO -- Construction-Operations Area Office
 DO -- Jacksonville District Office
 AE -- Architect Engineer Contractor providing engineering during construction

1.2.10 Review and Action Codes

Reviewer code letters A,B,C,E,F,G and X are used by Contractor QC Staff and Government Primary and Secondary Reviewers to indicate approval, acceptance or rejection of a submittal item.

1.2.11 Review Comments to Contractor

ENG Form 4025, Section III is generated in Resident Management System, and contains consolidated remarks for Primary and Secondary Reviewers. When RMS exports to QCS, "Review Comments to Contractor" will electronically update. A hard copy of ENG Form 4025, Part III is attached to a submittal item when returned.

1.3 SUBMITTALS

NOTE: Submittals must be limited to those necessary for adequate quality control. The importance of an item in the project should be one of the primary factors in determining if a submittal for the item should be required.

A "G" following a submittal item indicates that the submittal requires Government approval. Some submittals are already marked with a "G". Only delete an existing "G" if the submittal item is not complex and can be reviewed through the Contractor's Quality Control system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

For submittals requiring Government approval on Army projects, a code of up to three characters within the submittal tags may be used following the "G" designation to indicate the approving authority. Codes for Army projects using the Resident Management System (RMS) are: "AE" for Architect-Engineer; "DO" for District Office (Engineering Division or other organization in the District Office); "AO" for Area Office; "RO" for Resident Office; and "PO" for Project Office. Codes following the "G" typically are not used for Navy projects.

Submittal items not designated with a "G" are considered as being for information only for Army projects and for Contractor Quality Control approval for Navy projects.

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only or as otherwise designated. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01 33 00 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Export File; G|RO

Within 14 Calendar days after receiving initial Government RMS import file, review and correct "Submittal Register", and provide corrected "Submittal Register" as part of first QCS export file to Government.

1.4 SUBMITTAL CLASSIFICATION

NOTE: The remaining paragraphs of this specification section are for Army projects only.

Submittals are classified as follows:

1.4.1 Government Approved

Government approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings."

1.4.2 Information Only

All submittals not requiring Government approval will be for information only. "Information Only" submittal items shall be reviewed, coded and approved by the Contractor. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

1.5 APPROVED SUBMITTALS

NOTE: Choose the phrase within the first set of brackets for construction contracts, and that within the second set of brackets for design-build contracts.

The Contracting Officer's approval of submittals shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory.

Approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Contractor Quality Control (CQC) requirements of this contract is responsible for [dimensions, the design of adequate connections and details, and the satisfactory construction of all work] [design, dimensions, all design extensions, such as the design of adequate connections and details, etc., and the satisfactory construction of all work]. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

1.6 DISAPPROVED SUBMITTALS

Make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

1.7 WITHHOLDING OF PAYMENT

No payment for materials incorporated in the work will be made if required approvals have not been obtained until it is determined by the Contracting Officer that materials meet contract requirements.

1.8 GENERAL

The Contractor shall make submittals as required by the specifications using the QCS software "Transmittal Log". The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Units of weights and measures used on all submittals shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to transmittal, all items shall be checked and approval coded by the Contractor's Quality Control (CQC) System Manager, and each item shall be stamped, signed, and dated by the CQC System Manager indicating action taken. Proposed deviations from the contract requirements shall be clearly identified. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals. Submittals requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

1.9 SUBMITTAL REGISTER

NOTE: Use the first bracketed sentence of the paragraph if the Contractor is required by the contract to use the Quality Control System (QCS). Use the second bracketed sentence of the paragraph if the Contractor will not be required by the

contract to use the Quality Control System (QCS). It may not be necessary or beneficial to use the QCS in small, simple, short duration contracts/delivery orders for construction, or for other contracts where its use would not be in the best interest of the Government.

A submittal register or a submittal list is not a part of this guide specification; a register or listing must be developed locally for each project.

When creating a new section not covered by guide specifications, the following guidelines must be followed.

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).
2. Each submittal category (SD-## Title) used must be identified in the submittal paragraph and surrounded by a set of submittal tags.
3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the paragraph title should be the first choice.
4. Submittal Classifications:
 - a. Government approved is required for submittals with a "G" designation. All submittals not requiring Government approval will be for information only. The "G" Submittal Classification can only appear in the submittal paragraph and must be included within a separate set of submittal tags immediately following the submittal item.
 - b. A Reviewer designation should be used anytime the "G" designation is used. The Reviewer is designated by inserting an identifier of three characters or less (e.g. "AE") immediately following the "G" designation. The identifier must be separated from the "G" designation by a space, comma, pipe symbol or dash (a comma and a space are used in the guide specifications). The "G" and the reviewer designation should be included within the same set of submittal tags.

When the submittal register is generated, SPECSINTACT software searches by section for the submittal paragraph within Part 1. Next it will search for submittal tags within the paragraph and

within the section and place the information on the submittal register. Submittal registers generated through the QCS software utilize the submittal file generated by the SPECSINTACT software.

At the end of this section is a submittal register showing items of equipment and materials for which submittals are required by the specifications; this list may not be all inclusive and additional submittals may be required. The Submittal Register using QCS/RMS is a shared electronic database constantly updated by both Government and Contractor. The Government will provide initial RMS export file to populate the QCS submittal register in electronic format. This list may not be all inclusive, and additional submittals may be required. Examine contract drawings and specifications, verify QCS data, and add required submittal items. The Contractor can print or e-mail QCS/RMS generated current Submittal Register ENG Form 4288, and Transmittal Log as QCS reports. Submittal and Transmittal status are updated with each RMS/QCS data file exchange.

1.10 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. QCS requires the Contractor to schedule and transmit submittal items from one Section together. Certifications to be submitted with drawings shall be scheduled. Schedule submittals with sufficient time to obtain a Government response prior to delivery of applicable equipment and materials, and commencement of applicable work. The Contractor assumes risk for applicable deliveries and work performed prior to receipt of a Government response to a submittal which requires no resubmission as indicated in the clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION of Section 00700 CONTRACT CLAUSES of Volume 1. When planning procurement, allow QC/QA review periods from date of receipt by Approval Authority as follows:

Information Only - Contractor QC Review - 10 Calendar Days
 "G" - Government QA Review - [30][] Calendar Days

The Government has the number of calendar days indicated above from the date a transmitted "G" submittal item is received to review, code and return comments. The Contractor shall resubmit disapproved submittal items (codes C, D, E, G or X) within 10 calendar days after return. No delay damages or time extensions will be allowed for time lost caused by late submittals.

1.10.1 Avoiding Delays

Notify the Contracting Officer immediately when procurement or construction delays due to submittal review are possible.

1.11 TRANSMITTAL FORM (ENG FORM 4025)

NOTE: ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this section locally. If the Contractor is required to use the QCS software for the contract, that system includes an electronic version of ENG

Form 4025.

These forms are included in the QCS software. Use the QCS transmittal log to generate "ENG Form 4025 - Transmittal of Shop Drawings, Equipment Data, Material Samples, or Manufacturer's Certificates of Compliance" to transmit submittal items to the Government. EN Form 4025R has three sections as follows:

Section I - "Request for Approval of the Following Items" is initiated by the Contractor.

Section II - "Approval Action" combined with a review code in column "For CE Use Code" indicates submittal item acceptance or rejection by Approving Authority.

Section III - Government Review Remarks.

This form shall be properly completed using QCS software to fill out all the heading blank spaces and identify each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph or sheet number of the contract drawings pertinent to the data submitted for each item.

1.11.1 Approving Authority Review Codes

The Contractor shall use QCS to act as Approving Authority to code FIO submittals. The Government will use RMS to prepare reviewer comments and code "G" submittal items. These comments and coding will update QCS when the .RFX file update is imported by the Contractor. The action codes are as follows ("Resubmit" in parentheses means the Contractor is required to resubmit):

- A -- Approved as submitted (Complete)
- B -- Approved, except as noted on drawings (Complete)
- C -- Approved, except as noted on drawings (Resubmit)
- D -- Returned by correspondence (Complete)
- E -- Disapproved (See Attached and Resubmit)
- F -- Receipt Acknowledged (Completed)
- G -- Other (Specify Action in Detail and Resubmit)
- X -- Receipt Acknowledged, does not comply (Resubmit)

1.12 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

1.12.1 Reviewing, Certifying, Approving Authority

NOTE: Add applicable procedures, including where to be submitted and number of copies required.

The Contractor shall perform QC review of all submittal items, and certify for compliance or note submittal item is a variation. Approving authorities are as follows:

- "G" - Government will approve "G" submittal items.
- Information Only - Contractor shall approve "Information Only"

submittal items.

The Government reserves the right to perform quality assurance on an "Information Only" submittal even after it has been approved by the Contractor's Approving Authority. See paragraph INFORMATION ONLY SUBMITTALS below.

1.12.2 Procedures

The Contractor shall furnish submittals required by contract and transmit them to the Contracting Officer using ENG Form 4025 as contract transmittal form. Transmit all submittals to:

NOTE TO SPEC WRITER: ALL TRANSMITTALS ARE TO BE
SENT TO THE APPLICABLE CONTRACTING OFFICER'S
REPRESENTATIVE; I.E., AREA/PROJECT/RESIDENT OFFICE.

FLORIDA:

U.S. Army Corps of Engineers (Ph 813.840.0824)
Gulf Coast Area Office (Fax 813.840.2123)
P.O. Box 19247
Tampa, FL 33686-9247

U.S. Army Corps of Engineers (Ph 863.471.1741)
Sebring Resident Office (Fax 863.471.1742)
6406 Highway 27 South
Sebring, FL 33876-5711

U.S. Army Corps of Engineers (Ph 561.626.5299)
South Florida Area Office (Fax 561.626.3438)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 561.798.1711)
West Palm Resident Office (Fax 561.798.0637)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 954.224.4209)
Miami Resident Office (Fax 51.626.3438)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 904.232.2086)
North Florida Area Office (Fax 904.232.2147)
4070 Boulevard Center Drive
Suite 201
Jacksonville, FL 32207

U.S. Army Corps of Engineers (Ph 321.783.3602)
Melbourne Resident Office (Fax 321.783.8502)
1224 Jupiter Street
Building 534, Room 208
Patrick AFB, FL 32925

PUERTO RICO:

U.S. Army Corps of Engineers (Ph 787.729.6880)
 North Puerto Rico Resident Office (Fax 787.729.6681)
 400 Fernandez Juncos
 San Juan, PR 00901-3299

U.S. Army Corps of Engineers (Ph 787.841.3181)
 South Puerto Rico Resident Office (Fax 787.841.3164)
 GPO Box 7825
 Ponce, PR 00732-7825

COPY THE APPLICABLE AREA OR PROJECT OFFICE ADDRESS
 PROVIDED ABOVE INTO THE BRACKETS PROVIDED BELOW, AND
 DELETE THE BRACKETS.

[]

1.12.3 Number of Copies or Samples

NOTE: Jacksonville District requires 8 copies of
 "G" submittal items and 5 copies of "Information
 Only" as standard number of copies transmitted to
 Contracting Officer. Use 10 for "G" and 7 for
 "Information Only" when it is a job for CUSTOMER,
 has A/E design review, or to be reviewed by another
 Corps District.

Recommended "G" submittal item copy disposition:
 COPY 1 - Field Office File - Awaiting Approval;
 COPIES 2 and 3 - District Reviewer and Section File;
 COPY 4 - District Construction File; COPY 5 - Field
 Office File - Coded; COPIES 6, 7, and 8 -
 Contractor; COPIES 9 and 10 - A/E or Other Reviewer
 Files.

Recommended "Information Only" copy disposition:
 COPIES 1, 2, and 3 - Field Office Files (return ENG
 Form 4025 with action code to Contractor); COPIES 4
 and 5 - District Files; COPIES 6 and 7 - A/E, Others.

Transmit [8] [10] copies of "G" submittal items and [5] [7] copies of
 "Information Only" submittals to Contracting Officer. Each transmittal of
 a set of submittal items shall have a coded and signed hard copy of a QCS
 generated ENG Form 4025 attached.

1.12.4 Identifying Submittal Items and Transmittals

QCS creates a unique number using section number and generated number
 (01130-X) for each submittal item. Also, QCS creates a unique number for
 each transmittal using section number and a number assigned by the
 Contractor (01330-XXXXX). The Contractor assigned numbers are not
 consecutive and may be an activity number from the procurement schedule.
 Attach a QCS generated ENG Form 4025 to each set and copy of submittal
 items. Identify each sample submittal item with project title, contract
 number, section/submittal item number, name, address and phone number of
 Contractor's point of contact.

1.12.5 Submittal Format

1.12.5.1 Format for Shop Drawings

Paper copies of shop drawings shall be ANSI standard sizes A, B, C or E (8.5"x11", 11"x17", 17"x22" or 34"x44" respectively). Each drawing shall have a right side margin information block similar to contract drawings with project title, contract number, contractor/supplier names, section/submittal item number, drawing title, number and date, revision date, and approval box. Units shall be the same as those in contract drawings. Dimensions shall be to the scale shown or noted as "Not to Scale" (NTS).

1.12.5.2 Format for Construction Drawings

Construction drawings are large sized shop drawings for complex structures and systems, layout of site temporary construction (dewatering), mapping access, and land use descriptions. When required, prepare construction drawings on ANSI standard sizes C (17"x22") or E (34"x44") as directed. The layout of construction drawings shall be as indicated in subparagraph "Format for Shop Drawings" above.

1.12.5.3 Format for Computer Aided Design (CAD) Drawings

CAD drawings may be transmitted on CD-ROM if approved by the Contracting Officer. The Contractor shall transmit the same number of CD-ROM disks as the number of hard copies required. Attach a copy of ENG Form 4025 on each CD-ROM disk case, and mark the contract and transmittal numbers on each CD-ROM disk. One paper copy of drawings shall be included with each set of CD-ROM disks transmitted.

1.12.5.4 Administrative Submittal Items Format

When an administrative submittal becomes part of the contract or project record, use 8.5"x11" pages for text and 11"x17" sheets for drawings. Use a table of contents with tabs for large submittal items. Use loose leaf binder or binder fastener to allow for disassembly, and addition of documents.

1.12.5.5 Operation and Maintenance Data

**NOTE: Use if Section 01781 OPERATION AND
 MAINTENANCE DATA is in contract. Otherwise, delete
 this paragraph.**

See Section 01 78 23 OPERATION AND MAINTENANCE DATA.

1.12.6 Deviations

Deviations are also known as "variations" from the contract requirements. Variations require Government approval, and will be considered when beneficial to the Government. An "Information Only" submittal item becomes a "G" submittal item requiring Government review and approval when a variation is proposed. When QCS variation block is checked, explain why the variation should be accepted in place of the specified item in "Remarks to Government". The "Remarks to Government" will populate the ENG Form 4025R "REMARKS" block. The variation will become a modification to

contract requirements if it is approved by the Contracting Officer. Approved variations may require adjustments to contract price for increased (basic change document) or decreased (Government's credit) costs, and construction time. The Government reserves the right to rescind inadvertent approval of submittals containing unnoted deviations.

1.12.7 Considering Variations

Discuss proposed variations with the Contracting Officer prior to submission. Ensure function and quality requirements are met. Submit proposed variation as a Value Engineering Change Proposal (VECP) if it is likely to result in lower cost. See the clause VALUE ENGINEERING - CONSTRUCTION of Section 00700 CONTRACT CLAUSES of Volume 1. Also, go to the web site "<http://www.saj.usace.army.mil/Divisions/Construction>", and click the link "Value Engineering Program" to see the VECP checklist.

1.12.8 Proposing Variations

Use QCS Transmittal Log to identify submittal items as variations. In "Remarks to Government", describe what the proposed variation is, how it differs from the contract, and why it is desirable and beneficial to the Government. Include estimate of cost savings if lower cost is a benefit.

1.12.9 Warranty Variations

Use the QCS transmittal log "Remarks to Government" to warrant that the variation submitted for approval will be compatible with other work if incorporated.

1.12.10 Electronic Correspondence

All correspondence and contract documents not generated in QCS shall be submitted in Adobe Portable File format (Adobe .pdf format). The Contracting Officer will discuss electronic correspondence procedures at Preconstruction and Coordination Meetings. These procedures may include sending files by e-mail, submitting on electronic media such as compact disks, transmission through the SAJ File Transfer Protocol (FTP) internet site, or other methods approved by the Contracting Officer. The Contractor shall be responsible for the cost of the electronic media. Forms generated in QCS and exported to RMS such as QC Reports, Transmittals, and Requests for Information (RFIs) do not have to be re-submitted separately. Examples of correspondence and contract documents that must be submitted in .pdf format include, but are not limited to, Contractor serial letters, notifications to Contracting Officer, requests for equitable adjustment, change requests, claims, and submittals. Submit copies of correspondence to other businesses, entities, or agencies such as "Notices to Mariners", permit required reports, and other contract documents in .pdf format. Include signatures if applicable for final versions of scanned contracts. E-mail correspondence and payroll documentation does not have to be provided in .pdf format. The correspondence and contract documents shall also be submitted in hard copy form, in the quantities and with the requirements listed in these documents, unless the Contractor obtains a waiver from the Contracting Officer.

1.13 CONTROL OF SUBMITTALS

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

1.14 GOVERNMENT APPROVED SUBMITTALS

NOTE: See subparagraph "Number of Copies or Samples" in paragraph SUBMITTAL PROCEDURES above. Choose "Five" copies if 8 copies of "G" submittals are required above. Choose "Seven" copies if 10 copies of "G" submittals are required above.

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. [Five][Seven] copies of the submittal will be retained by the Contracting Officer and three copies of the submittal will be returned to the Contractor.

1.15 INFORMATION ONLY SUBMITTALS

Normally submittals for information only are approved by the Contractor's approving authority. The Government will notify the Contractor if the submittal has received an "F" action code, and the submittal will not be returned. Approval of the Contracting Officer is not required on information only submittals. Submittal items found not to comply with contract requirements will be given an "X" action code, returned to the Contractor, and shall require resubmittal by the Contractor as a "G" submittal item. The Government reserves the right to require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe.

1.16 REQUEST FOR INFORMATION (RFI)

NOTE: Choose Section 01452 for dredging and/or beach fill projects, or Section 01451 for all other projects.

Requests for Information are not submittal items. They are time sensitive Quality Control related correspondence. See Section [01 45 04 CONTRACTOR QUALITY CONTROL] [01 45 05 DREDGING/BEACH FILL PLACEMENT - CONTRACTOR QUALITY CONTROL].

1.17 SUBMITTAL REGISTER

The Submittal Register is appended after the end of this section.

1.18 STAMPS

Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements shall be similar to the following (see next page):

CONTRACTOR
(Firm Name)
_____ Approved
_____ Approved with corrections as noted on submittal data and/or attached sheets(s).
SIGNATURE: _____
TITLE: _____
DATE: _____

PART 2 PRODUCTS (NOT APPLICABLE)

PART 3 EXECUTION (NOT APPLICABLE)

-- End of Section --